

# **Schedule 39-102**

## **DEPARTMENT OF EDUCATION ADULT PROGRAM SERVICES**

**May 3, 2006**

Nebraska Records Management Division  
440 South 8<sup>th</sup> Street, Suite 210  
Lincoln, NE 68508  
(402) 471-2559

**REQUEST FOR APPROVAL  
OF RECORDS RETENTION  
AND DISPOSITION SCHEDULE**

SCHEDULE
<b>39-102</b>
AGENCY, BOARD OR COMMISSION
<b>Department of Education</b>
DIVISION, BUREAU OR OTHER UNIT
<b>Adult Program Services</b>
Supersedes edition of January 21, 2005

**TO: STATE RECORDS ADMINISTRATOR  
STATE OF NEBRASKA**

**PART I -- AGENCY STATEMENT**

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE



TITLE

*Commissioner of Education*

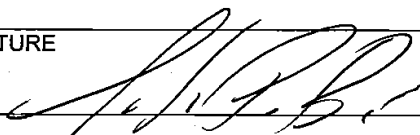
DATE

*4/30/06*

**PART II - ARCHIVAL APPROVAL**

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE



STATE ARCHIVES

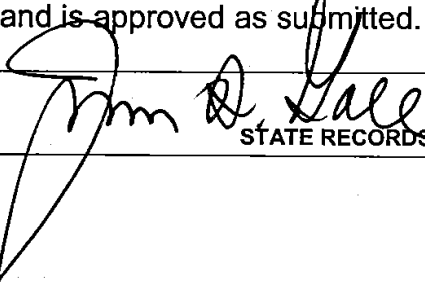
DATE

*5-2-06*

**PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR**

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE



STATE RECORDS ADMINISTRATOR

DATE

*May 3, 2006*

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

### **DISPOSING OF RECORDS**

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

**Please remember to retain the blank form for future use.**

### **NON-SCHEDULED RECORDS**

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

### **SCHEDULE UPDATE**

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

### **QUESTIONS**

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division  
440 South 8th Street, Suite 210  
Lincoln, NE 68508-2294  
402-471-2559**

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## **SCHEDULE 39-102 - DEPARTMENT OF EDUCATION ADULT PROGRAM SERVICES**

### **39-102-001 ACCREDITATION FILES, PRIVATE POSTSECONDARY CAREER SCHOOLS**

Records of accreditation of courses offered by private trade, business and technical schools. Microfilm project number 2023. A typical file may contain:

- a. Application and supporting documents
- b. Receipts from accounting
- c. Copies of certificates issued

**ORIGINAL RECORD: Microfilm and destroy.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

### **39-102-002 AGENT'S FILES, PRIVATE POSTSECONDARY CAREER SCHOOLS**

Records of permits issued to agents for private post secondary career schools not licensed by the Commissioner of Education. Information on agents' files are for internal use. Microfilm project number 3830. A typical file may contain:

- a. Applications with supporting documents
- b. Receipts from accounting
- c. Photocopies of permits issued
- d. Catalogs

**ORIGINAL RECORD: Microfilm upon receipt and destroy.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

### **39-102-003 ANNUAL LIST OF NEBRASKA APPROVED TEACHER EDUCATION PROGRAMS**

Booklet listing all teacher education programs that have been annually approved by the State Board of Education.

**Transfer 1 copy annually to the State Archives.**

**ALL OTHER COPIES: Dispose of after 2 years.**

### **39-102-004 APPLICATION FOR APPROVAL OF ADULT EDUCATION FUNDING**

Application in response to a request for proposal (RFP) for federal funding. The proposal describes the needs and objectives of the adult basic education program. The proposal also includes activities, procedures and proposed cost of the program and serves as a contract for the receipt and expenditure of funds.

**Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

### **39-102-005 APPLICATIONS FOR TESTING CENTERS FOR HIGH SCHOOL EQUIVALENCY**

Applications received which are required to be submitted by centers wishing to be approved testing centers for high school equivalency testing.

**Retain permanently.**

**39-102-006            ASSOCIATE DEGREE FILES, PRIVATE  
POSTSECONDARY CAREER SCHOOLS**

Records may contain application for authorization to award associate degree, with supporting documentation and notice of grant authorization. Microfilm project number 2023.

**ORIGINAL RECORD: Microfilm upon receipt and destroy.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

**39-102-007            AUTHORIZATION TO OPERATE FILES, PRIVATE  
POSTSECONDARY CAREER SCHOOLS**

Records of the annual authorization to operate private postsecondary career schools. Information on authorization to operate files is for internal use and therefore is not open to the public. Microfilm project number 3830. A typical file may contain:

- a. Applications for authorization to operate and supporting documentation.
- b. Curriculum outline, brochure, bulletin, or catalog.
- c. Institution's financial statement.
- d. Receipts from accounting for fees on authorization to operate and for agents' permits.
- e. Supervisory visit report.
- f. Academic and financial aid records of students for any private Postsecondary career school.
- g. Agents' files for schools authorized to operate in the state by the Agents' permits Commissioner.
- h. Copies of authorization certificates and permits.

**ORIGINAL RECORD: Microfilm upon receipt and destroy.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

**39-102-008            BOND FILES**

Records of private post secondary career school bonds and private postsecondary career school agents' bonds. Microfilm project number 3830. A typical file may contain:

- a. Private Post secondary Career School Bond \$20,000
- b. Bond Riders
- c. Private Postsecondary Career School Agents' Bond (may be either individual or blanket) for \$5,000
- d. Notice of bond cancellation
- e. Notice of bond reinstatement
- f. Copies of cancellation/reinstatement

**ORIGINAL RECORD: Microfilm upon receipt and destroy.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

**39-102-009            CLAIMS AND REPORTS FOR APPROVED ADULT  
EDUCATION            PROGRAMS (formerly Claims and Reports for Approved  
Applications)**

Includes quarterly and semi-annual claims for reimbursement and progress reports, evaluation reports, final claims for reimbursement and final reports.

**Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**39-102-010            COMMISSIONER'S APPROVAL FOR ISSUING PERMITS  
AND ALL CERTIFICATES**

Memos to Commissioner of Education for approval of agent permits and all certificates for private and post secondary career schools.

**ORIGINAL RECORD: Microfilm for security.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

**39-102-011            HIGH SCHOOL EQUIVALENCY PROGRAM FILES**

Files may include the following: transcript of high school grades, results of GED tests, application for high school equivalency diploma, discharge from military service (where applicable), receipt of high school equivalency certificate. Microfilm project number 2269. **NOTE: THESE RECORDS ARE CONFIDENTIAL as per state statute 79-4,157, R.R.S. 1943.**

**ORIGINAL RECORD: Microfilm and destroy originals after semester's end.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Dispose of after 100 years.**

**39-102-012            NEBRASKA PARTNERSHIP FOR QUALITY IN TEACHER  
EDUCATION FEDERAL GRANT (NPQTE)**

Nebraska Partnership for Quality in Teacher Education records. Records include proposals for funding, semi-annual and final reports, miscellaneous project information, and financial forms for reimbursement and other supporting materials.

**Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**39-102-020            NCLB (NO CHILD LEFT BEHIND) QUALIFIED TEACHER  
APPLICATION FILES**

NCLB requirement that new teachers be NCLB qualified. Records include completed forms by teachers to document that they meet the requirements.

**NDE APPROVED APPLICATIONS: Dispose of after 10 years.**

**APPLICATIONS NOT APPROVED: Dispose of after 10 years.**

**39-102-013            PAUL DOUGLAS CONGRESSIONAL TEACHER LOAN  
PROGRAM**

All documentation regarding this federally funded program which is intended to attract highly qualified individuals to teaching careers. The Nebraska Coordinating Commission for Post-secondary Education is the designated agency for administering the program, but NDE has agreed to function as the administering agency through mutual agreement. Records may include applications, criteria for awarding the loan, records of college attendance and repayment plan.

**Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**



**39-102-014            POLICIES AND CRITERIA FOR THE APPROVAL OF  
TEACHER EDUCATION PROGRAMS AND INSTITUTIONS  
IN NEBRASKA (OBSOLETE JANUARY 1, 1990)**

Includes the statement of general policies and criteria which the State Board of Education uses in determining which Nebraska institutions of higher education and teacher education programs are approved for certification of teachers, counselors, supervisors, administrators, and all other professional school personnel. These are being replaced by official administrative rules 92 NAC 20 and 92 NAC 24.

**ORIGINAL RECORD: Microfilm and destroy after 2 years.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Retain permanently.**

**39-102-015            TEACHER CERTIFICATION FILES**

Files document the certification (or licensing) of persons qualified to teach in primary and secondary schools. Generally includes: application for the Nebraska teaching certificate, verification of successful experience for standard certificate, college transcripts, recommendations, related correspondence, and minimum competency test scores (started August 1989), and criminal history background check (fingerprinting) reports. May also include information concerning suspensions, revocations, or additional institutional endorsements.

**ORIGINAL RECORD: Microfilm; transfer to the State Archives.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Dispose of after 100 years.**

**CD WORK COPY: Dispose of after 100 years.**

**39-102-016            TEACHER PREPARATION PROGRAM RECORDS**

Submitted annually by the Nebraska Colleges which are approved by the State Board for teacher or administrator educational programs. Includes the following: application for approval of specific programs of teacher preparation, request for approval of a program of preparation, and lists of program requirements.

**Dispose of after 2 years.**

**39-102-017            TEACHERS COLLEGE ON-SITE CAMPUS VISITATION  
REPORTS**

The written record of the official State Board of Education Advisory Committee on Teacher Education and Certification team visitation to each campus (once every five years) to verify compliance with State Board requirements for teacher education; and the college's response to that report.

**Dispose of after superseded.**

**39-102-018            VERIFICATION OF EQUIPMENT DEPRECIATION**

A list of items of instructional equipment purchased, in part with federal Vocational Education funds, including make, model, school inventory number, original cost, depreciation schedule and underpreciated balance for a given fiscal year.

**Dispose of after 5 years or until the item of equipment has an underpreciated balance of less than \$300, whichever is longer.**

**39-102-019            VETERANS' EDUCATION FILES**

Records of approval of courses for veterans. Microfilm project number 2026. A typical file may contain:

- a. Applications for new or revised approval and related correspondence with supporting documentation
- b. Copies of letters of approval notification or withdrawal
- c. Supervisory and other visit reports
- d. Application evaluation

**ORIGINAL RECORD: Microfilm upon receipt and destroy.**

**SECURITY MICROFILM: Transfer to the State Archives; retain permanently.**

**MICROFILM WORK COPY: Dispose of after 7 years.**

**NOTE**

1. These records may be disposed of after the required retention period, provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.

## RECORDS DISPOSITION REPORT

<b>TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8<sup>TH</sup> STREET SUITE 210 LINCOLN, NE 68508-2294</b>	AGENCY
	DIVISION
	SUB-DIVISION

### REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

### OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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**SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.**

RMA 03006D

## **VOLUME ESTIMATING GUIDE**

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK  
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS  
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size .....	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size .....	9 cubic feet
Lateral File, 4 drawer/shelf legal size .....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load .....	50 cubic feet